

PRETHICK SUBCATEGORIES OF MODULES AND CHARACTERIZATIONS OF LOCAL RINGS

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ABSTRACT. "This paper studies characterizing local rings in terms of homological dimensions. The key tool is the notion of a prethick subcategory which we introduce in this paper. Our methods recover the theorems of Salarian, Sather-Wagstaff and Yassemi.

1. INTRODUCTION

Throughout this paper, let R be a commutative Noetherian local ring with maximal ideal \mathfrak{m} and residue field k . Denote by $\mathbf{mod} R$ the category of finitely generated R -modules.

We call a full subcategory of $\mathbf{mod} R$ *prethick* if it is closed under finite direct sums, direct summands, kernels of epimorphisms and cokernels of monomorphisms. A prethick subcategory closed under extensions is often called a *thick* subcategory, which has been well investigated so far; see [3, 6, 9]. What we want to study in this paper is the following question.

Question 1.1. When does a prethick subcategory of $\mathbf{mod} R$ contain the residue field k ?

The main results of this paper are the following two theorems.

Theorem 1.2. A prethick subcategory \mathfrak{X} of $\mathbf{mod} R$ contains k if there exists a finitely generated R -module M satisfying the following two conditions:

- (1) $\text{depth } R \geq \text{depth}_R M + 1$.
- (2) $M/(x_1, \dots, x_i)M$ is in \mathfrak{X} for all $i = 0, \dots, \text{depth}_R M + 1$ and all R -regular sequences x_1, \dots, x_i .

Theorem 1.3. A prethick subcategory \mathfrak{X} of $\mathbf{mod} R$ contains k if there exists a finitely generated R -module M satisfying the following two conditions:

- (1) $\dim R \geq \text{depth}_R M + 1$.
- (2) $M/(x_1, \dots, x_i)M$ is in \mathfrak{X} for all $i = 0, \dots, \text{depth}_R M + 1$ and all subsystems of parameters x_1, \dots, x_i for R .

Using these theorems, we can recover all the results given in [7], and furthermore yield new results on Tor and Ext modules, complexities and Betti numbers. In Section 2 we give the precise definition of a prethick subcategory and make some examples. In Section 3 we prove the above two theorems and apply them to recover the results in [7] and obtain new results.

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2. PRETHICK SUBCATEGORIES

In this section we define a prethick subcategory and give some examples.

Definition 2.1. A full subcategory \mathfrak{X} of $\mathbf{mod} R$ is said to be *prethick* if \mathfrak{X} satisfies the following conditions.

- (1) \mathfrak{X} is closed under isomorphisms: if M is in \mathfrak{X} and $N \in \mathbf{mod} R$ is isomorphic to M , then N is also in \mathfrak{X} .
- (2) \mathfrak{X} is closed under finite direct sums: if M_1, \dots, M_n are in \mathfrak{X} , so is the direct sum $M_1 \oplus \dots \oplus M_n$.
- (3) \mathfrak{X} is closed under direct summands: if M is in \mathfrak{X} and N is a direct summand of M , then N is also in \mathfrak{X} .
- (4) \mathfrak{X} is closed under kernels of epimorphisms: for any exact sequence $0 \rightarrow L \rightarrow M \rightarrow N \rightarrow 0$ in $\mathbf{mod} R$, if M and N are in \mathfrak{X} , then so is L .
- (5) \mathfrak{X} is closed under cokernels of monomorphisms: for any exact sequence $0 \rightarrow L \rightarrow M \rightarrow N \rightarrow 0$ in $\mathbf{mod} R$, if L and M are in \mathfrak{X} , then so is N .

Example 2.2. Let N be an R -module, C a semidualizing R -module and I an ideal of R . The full subcategory of $\mathbf{mod} R$ consisting of modules X satisfying the property \mathbb{P} is prethick, where \mathbb{P} is one of the following:

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|---|--|---|
| (1) $G_C\text{-dim}_R X < \infty$. | (2) $G\text{-dim}_R X < \infty$. | (3) $CI_*\text{-dim}_R X < \infty$. |
| (4) $Gid_R X < \infty$. | (5) $pd_R X < \infty$. | (6) $id_R X < \infty$. |
| (7) $\text{Tor}_{\geq 0}^R(X, N) = 0$. | (8) $\text{Ext}_R^{\geq 0}(X, N) = 0$. | (9) $\text{Ext}_R^{\geq 0}(N, X) = 0$. |
| (10) $cx_R X < \infty$. | (11) $\sup_{i \geq 0} \{\beta_i^R(X)\} < \infty$. | (12) $IX = 0$. |

Here, $G_C\text{-dim}$, $G\text{-dim}$, $CI_*\text{-dim}$, Gid , cx and β_i denote Gorenstein dimension with respect to C , Gorenstein dimension, lower complete intersection dimension, Gorenstein injective dimension, complexity and i -th Betti number, respectively. For their definitions, we refer the reader to [2, 7].

Proof. We give a proof of the assertion only for the property (1). The assertion for the other properties is shown easily, or similarly, or by [2, Theorem 4.2.4], [4, Theorem 2.25], [8, Example 2.4 (10)].

Set $n = \text{depth } R$. Let \mathfrak{X} be the full subcategory of $\mathbf{mod} R$ consisting of all modules X with $G_C\text{-dim}_R X < \infty$. It is easy to see from the definition of $G_C\text{-dim}$ that \mathfrak{X} is closed under isomorphisms, finite direct sums and direct summands. Let

$$0 \rightarrow L \rightarrow M \rightarrow N \rightarrow 0$$

be an exact sequence in $\mathbf{mod} R$ with $G_C\text{-dim}_R M < \infty$. Taking the d -th syzygies, where $d = \dim R$, induces an exact sequence

$$0 \rightarrow \Omega^d L \rightarrow \Omega^d M \xrightarrow{\alpha} \Omega^d N \rightarrow 0$$

up to free summands. Note have that $\Omega^d M$ is totally C -reflexive. It follows from [1, Theorem 2.1] that if $\Omega^d N$ is totally C -reflexive, then so is $\Omega^d L$. This shows that \mathfrak{X} is closed under kernels of epimorphisms. Take an exact sequence

$$0 \rightarrow \Omega^{d+1} N \rightarrow F \xrightarrow{\beta} \Omega^d N \rightarrow 0$$

with F free. The pullback diagram of α and β yields an exact sequence

$$0 \rightarrow \Omega^{d+1} N \rightarrow \Omega^d L \oplus F \rightarrow \Omega^d M \rightarrow 0.$$

Again by [1, Theorem 2.1] we observe that if $\Omega^d L$ is totally C -reflexive, then so is $\Omega^{d+1} N$. This implies that \mathfrak{X} is closed under cokernels of monomorphisms. \square

Remark 2.3. A full subcategory \mathfrak{X} of $\mathbf{mod} R$ is said to be *closed under extensions* provided that for an exact sequence $0 \rightarrow L \rightarrow M \rightarrow N \rightarrow 0$ in $\mathbf{mod} R$, if L and N are in \mathfrak{X} , then so is M . A prethick subcategory closed under extensions is called a *thick* subcategory. By definition any thick subcategory is prethick, but the converse does not necessarily hold. In fact, let \mathfrak{X} be the full subcategory of $\mathbf{mod} R$ consisting of all modules that are annihilated by the maximal ideal \mathfrak{m} . As we saw in Example 2.2, \mathfrak{X} is a prethick subcategory of $\mathbf{mod} R$. Suppose that \mathfrak{X} is closed under extensions. Then consider the natural short exact sequence

$$0 \rightarrow \mathfrak{m}/\mathfrak{m}^2 \rightarrow R/\mathfrak{m}^2 \rightarrow k \rightarrow 0$$

in $\mathbf{mod} R$. Since k and $\mathfrak{m}/\mathfrak{m}^2$ belong to \mathfrak{X} and \mathfrak{X} is assumed to be closed under extensions, R/\mathfrak{m}^2 also belongs to \mathfrak{X} , which means $\mathfrak{m} = \mathfrak{m}^2$. Nakayama's lemma implies $\mathfrak{m} = 0$, and it follows that R is a field. Consequently, unless R is a field, the subcategory \mathfrak{X} is a prethick non-thick subcategory.

3. MAIN RESULTS AND THEIR APPLICATIONS

In this section, we prove our main results and provide several results as corollaries, including the results in [7]. Let us state and prove our first main result.

Theorem 3.1. Let M be a finitely generated R -module and \mathfrak{X} a prethick subcategory of $\mathbf{mod} R$. If M satisfies the following conditions, then \mathfrak{X} contains k .

- (1) $\text{depth } R \geq \text{depth}_R M + 1$.
- (2) $M/(x_1, \dots, x_i)M$ is in \mathfrak{X} for all $i = 0, \dots, \text{depth}_R M + 1$ and all R -regular sequences x_1, \dots, x_i .

Proof. We use induction on $\text{depth}_R M$. First, consider the case $\text{depth}_R M = 0$. By assumption we have $\text{depth } R > 0$. Therefore, by prime avoidance, we can take an R -regular element $x \in \mathfrak{m}$ such that

$$x \notin \bigcup_{\mathfrak{p} \in \text{Ass } M \setminus \{\mathfrak{m}\}} \mathfrak{p}.$$

Since M is Noetherian, there exists an integer $\alpha \geq 0$ such that $[0 :_M x^\alpha] = [0 :_M x^{\alpha+i}]$ for all $i \geq 0$. The assumption $\text{depth}_R M = 0$ yields $[0 :_M x^\alpha] \neq 0$, and set $N = [0 :_M x^\alpha]$. The exact sequence

$$0 \longrightarrow N \longrightarrow M \xrightarrow{x^\alpha} M \longrightarrow M/x^\alpha M \longrightarrow 0$$

induces $N \in \mathfrak{X}$. Since $\text{Ass } N = \text{Ass } \text{Hom}(R/(x^\alpha), M) = V(x) \cap \text{Ass } M = \{\mathfrak{m}\}$, the R -module N has finite length. Hence there exists an integer $n > 0$ such that $\mathfrak{m}^n N = 0$ and $\mathfrak{m}^{n-1} N \neq 0$. Note that $N = \Gamma_{\mathfrak{m}}(M)$. Since $\text{depth}_R M/N > 0$, we can take an M/N -regular and R -regular element $y \in \mathfrak{m}^{n-1}$ such that

$$y \notin \bigcup_{\mathfrak{p} \in \text{Ass } M \setminus \{\mathfrak{m}\}} \mathfrak{p} \cup \text{Ann } N.$$

As M is noetherian, there exists an integer $\beta \geq 0$ such that $[0 :_M y^\beta] = [0 :_M y^{\beta+i}]$ for all $i \geq 0$. The above argument implies $[0 :_M y^\beta] = \Gamma_{\mathfrak{m}}(M) = N$. From the short exact sequence

$$(*) \quad 0 \longrightarrow N \longrightarrow M \longrightarrow M/N \longrightarrow 0,$$

we have $M/N \in \mathfrak{X}$. The fact that y is M/N -regular gives two exact sequences

$$0 \longrightarrow M/N \xrightarrow{y} M/N \longrightarrow M/(yM + N) \longrightarrow 0,$$

$$0 \longrightarrow N/yN \longrightarrow M/yM \longrightarrow M/(yM + N) \longrightarrow 0,$$

where the latter one is induced by applying $R/(y) \otimes_R -$ to $(*)$. It is seen that $M/(yM + N)$ belongs to \mathfrak{X} , and hence so does N/yN . The natural exact sequence

$$0 \longrightarrow yN \longrightarrow N \longrightarrow N/yN \longrightarrow 0$$

shows $yN \in \mathfrak{X}$. As $yN \neq 0$ and $\mathfrak{m}(yN) \subseteq \mathfrak{m}^n N = 0$, we see that yN is a direct sum of k . Since \mathfrak{X} is closed under direct summands, \mathfrak{X} contains k .

Next, let us consider the case $\text{depth}_R M > 0$. By prime avoidance, we can take an R -regular and M -regular element $x \in \mathfrak{m}$. Set $\overline{R} = R/(x)$ and $\overline{M} = M/xM$. Fix an integer $0 \leq i \leq \text{depth}_R \overline{M} + 1$ and take an \overline{R} -regular sequence $\overline{x}_1, \dots, \overline{x}_i$. Then $0 \leq 1 \leq i + 1 \leq \text{depth}_R M + 1$, and x, x_1, \dots, x_i is an R -regular sequence. Note that $\overline{M}/(\overline{x}_1, \dots, \overline{x}_i)\overline{M} = M/(x, x_1, \dots, x_i)M$ is in \mathfrak{X} . Let $\overline{\mathfrak{X}}$ be the full subcategory of $\text{mod } \overline{R}$ consisting of all \overline{R} -modules that belong to \mathfrak{X} as R -modules. Then it is easy to see that $\overline{\mathfrak{X}}$ is a prethick subcategory of $\text{mod } \overline{R}$, and the \overline{R} -module $\overline{M}/(\overline{x}_1, \dots, \overline{x}_i)\overline{M}$ belongs to $\overline{\mathfrak{X}}$. The induction hypothesis implies that k is in $\overline{\mathfrak{X}}$, and so we get $k \in \mathfrak{X}$. \square

The replacement

$$\begin{array}{ll} \text{depth } R & \longmapsto \dim R, \\ \text{Ass } R & \longmapsto \text{Min } R \text{ (or Assh } R), \\ R\text{-regular sequence} & \longmapsto \text{subsystem of parameters for } R, \\ \overline{R}\text{-regular sequence} & \longmapsto \text{subsystem of parameters for } \overline{R} \end{array}$$

in the proof of Theorem 3.1 yields our second main result:

Theorem 3.2. Let M be a finitely generated R -module and \mathfrak{X} a prethick subcategory of $\text{mod } R$. If M satisfies the following conditions, then \mathfrak{X} contains k .

- (1) $\dim R \geq \text{depth}_R M + 1$.
- (2) $M/(x_1, \dots, x_i)M$ is in \mathfrak{X} for all $i = 0, \dots, \text{depth}_R M + 1$ and all subsystems of parameters x_1, \dots, x_i for R .

Our Theorem 3.1 and 3.2 recover all the results shown in [7]. In what follows, let Φ be any of the homological dimensions $G_C\text{-dim}_R$, $G\text{-dim}_R$, $\text{CI}_*\text{-dim}_R$, Gid_R , pd_R , and id_R .

Corollary 3.3. [7, Theorem 3 and Corollaries 4–9] Let M be a finitely generated R -module and $0 \leq t \leq d := \text{depth } R$ an integer. If $\Phi(M/(x_1, \dots, x_i)M) < \infty$ for all $0 \leq i \leq d - t$ and all R -regular sequences x_1, \dots, x_i , then one has either $\text{depth}_R M \geq d - t$ or $\Phi(k) < \infty$.

Proof. By Example 2.2, the finitely generated R -modules X with $\Phi(X) < \infty$ form a prethick subcategory of $\text{mod } R$. If $\text{depth}_R M \leq d - t - 1$, then we have $\text{depth } R \geq \text{depth}_R M + t + 1 \geq \text{depth}_R M + 1 \leq d - t$. Hence $\Phi(k)$ is finite by Theorem 3.1. \square

Remark 3.4. In Corollary 3.3, the inequality $\text{depth}_R M \geq d - t$ is equivalent to the inequality $\Phi(M) \leq t$ in the case where Φ is one of the homological dimensions $G_C\text{-dim}_R$, $G\text{-dim}_R$, $\text{CI}_*\text{-dim}_R$ and pd_R , because such Φ satisfies an Auslander-Buchsbaum-type equality.

Corollary 3.5. [7, Corollary 10] Let M be a finitely generated R -module. The following conditions are equivalent.

- (1) R is Cohen-Macaulay.
- (2) There exists a finitely generated R -module M such that $G_C\text{-dim}_R(M/\mathfrak{a}M)$ is finite for every ideal \mathfrak{a} generated by a subsystem of parameters for R .
- (3) For every ideal \mathfrak{a} generated by a subsystem of parameters for R , one has $G_C\text{-dim}_R(R/\mathfrak{a})$ is finite.

Proof. (1) \implies (3): Since R is Cohen-Macaulay, \mathfrak{a} is generated by an R -regular sequence, so $G_C\text{-dim}_R(R/\mathfrak{a})$ is finite.

(3) \implies (2): This implication is shown by letting $M = R$.

(2) \implies (1): Assume that R is not Cohen-Macaulay, then we have $\text{depth}_R M \leq \text{depth } R < \dim R$. From Theorem 3.2, we get $G_C\text{-dim}_R k < \infty$ and it follows that R is Cohen-Macaulay. This is a contradiction. \square

In relation to Corollary 3.5, one can also deduce the result below from Theorem 3.2.

Corollary 3.6. Let $\Phi \in \{G_C\text{-dim}_R, G\text{-dim}_R, \text{CI}_*\text{-dim}_R, \text{pd}_R\}$. If there exists a finitely generated R -module M such that $0 < \Phi(M/\underline{x}M) < \infty$ for all subsystems of parameters \underline{x} for R , then $\Phi(k) < \infty$.

Proof. As $0 < \Phi(M) < \infty$, we have $\text{depth } R - \text{depth}_R M = \Phi(M) \geq 1$, so $\dim R \geq \text{depth}_R M + 1$. Theorem 3.2 implies $\Phi(k) < \infty$. \square

Using Theorem 3.1 and Example 2.2, we obtain the following new results concerning Tor and Ext modules, complexities and Betti numbers.

Corollary 3.7. Let M, N be finitely generated R -modules with $\text{depth } R > \text{depth}_R M$. If $\text{Tor}_{\geq 0}^R(M/(x_1, \dots, x_i)M, N) = 0$ (respectively, $\text{Ext}_R^{\geq 0}(M/(x_1, \dots, x_i)M, N) = 0$) for all $i = 0, \dots, \text{depth}_R M + 1$ and all R -regular sequences x_1, \dots, x_i , then $\text{pd}_R N < \infty$ (respectively, $\text{id}_R N < \infty$).

Corollary 3.8. Let M be a finitely generated R -module with $\text{depth } R > \text{depth}_R M$. If the R -module $M/(x_1, \dots, x_i)M$ has finite complexity (respectively, bounded Betti numbers) for all $i = 0, \dots, \text{depth}_R M + 1$ and all R -regular sequences x_1, \dots, x_i , then R is a complete intersection (respectively, hypersurface).

For the proof of Corollary 3.8 we use the fact that a local ring R whose residue field has finite complexity (respectively, bounded Betti numbers) as an R -module is a complete intersection (respectively, hypersurface).

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